



15 3624

Attorney Docket: J1-02

Applicant: W. Richard Jones
Serial No.: 10/015,003
Filed: December 11, 2001
Title: Long-Term Investing

Examiner: MILLIN, Vincent A
Art Unit: 3624

Commissioner For Patents
US Patent & Trademark Office

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

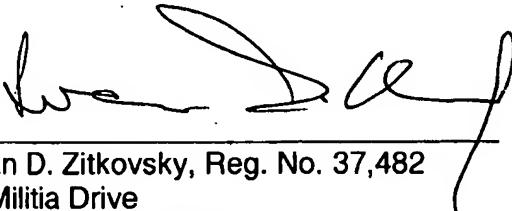
Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant submits this Supplemental Information Disclosure Statement.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits in the above-captioned application. Therefore, no fee is required.

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). Copies of all non-US patent publications are enclosed.

The order of presentation of the references should not be construed as an indication of the importance of the references. The submission of the references should not be construed as admission of prior art.

Respectfully submitted,



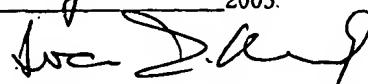
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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

I hereby certify that this document is being deposited with the United States Postal Service with first-class postage attached, in an envelope addressed to Commissioner for Patents, P. O. Box 1450, Alexandria, VA 20231-1450, on

Aug 27 2005



Ivan D. Zitkovsky



Page 1 of 1

FORM PTO-1449 (Modified)		ATTY. DOCKET NO.: J1-02US	SERIAL NO.: 10/015,003
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		APPLICANT: W. Richard Jones	
		FILING DATE: Dec. 11, 2001	GROUP: 3624

U.S. PATENT DOCUMENTS

Exam Init	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
JR		20010042037	11/2001	Kam et al.			
		20020059123	05/2002	Dunning et al.			
		20020059126	05/2002	Ricciardi			
		20020059127	05/2002	Brown et al.			
		20020062272	05/2002	Kim et al.			
		20020062271	05/2002	Breuninger			
		20020069149	06/2002	Maxwell et al.			
		20020099636	07/2002	Narumo			
		20030004846	01/2003	Schneider			
↓		20030018556	01/2003	Squyres			
		20030023532	01/2003	Bolt			
JR		20030009405	01/2003	Kiron et al.			

FOREIGN PATENT DOCUMENTS

		Country & Doc. No. (11)	Pub. Date (43)		Class	Sub Class	Translation Yes No

OTHER ART

(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)

JR		Jones, Robert. "Earnings basis for weighting stock portfolios." Pensions and Investments. August 6, 1990.
JR		iShares Trust Supplement dated August 17, 2005 to the Prospectus dated August 1, 2005 for the iShares Russell and S&P Index Funds pages 1-109

EXAMINER /James Rioux/	DATE CONSIDERED 02/15/2007
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

JR



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BT
12.16.03

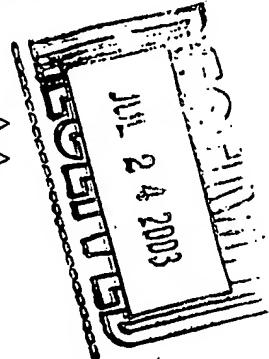
Attorney Docket: J1-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: W. Richard Jones
Serial No.: 10/015,003
Filed: December 11, 2001
Title: Long-Term Investing

Examiner: <not yet assigned>
Art Unit: <not yet assigned>

COMMISSIONER FOR PATENTS
US PATENT & TRADEMARK OFFICE



SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant submits this Supplemental Information Disclosure Statement in addition to the Information Disclosure Statement mailed on January 31, 2002.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits in the above-identified case. Therefore, no fee is required.

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified), which information was cited in the counterpart PCT Application PCT/US 02/22547.

The order of presentation of the references should not be construed as an indication of the importance of the references. The submission of the references should not be construed as admission of prior art.

Respectfully submitted,

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July 8 2003
Ivan D. Zitkovsky

JR



Page 1 of 2

SUPPLEMENTAL INFORMATION FORM PTO-1449(Modified)		ATTY. DOCKET NO.: J1-02	SERIAL NO.: 10/015,003
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT			
APPLICANT: W. Richard Jones		FILING DATE: December 11, 2001	
		GROUP:	

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS							
		Country & Doc. No. (11)	Pub. Date (43)		Class	Sub Class	Translation Yes No

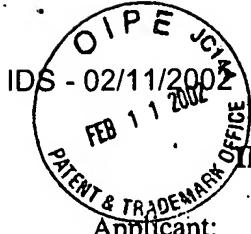
OTHER ART

(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)

	JR	International Search Report issued in PCT Application PCT/US02/22574 on May 27, 2003
	JR	International Search Report issued in PCT Application PCT/US02/22547 on June 17, 2003

EXAMINER	/James Rioux/	DATE CONSIDERED	02/15/2007
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.
Include copy of this form with next communication to applicant



Attorney Docket: JI-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: W. Richard Jones
Serial No.: 10/015,003
Filed: December 11, 2001
Title: Long-Term Investing

Examiner: <not yet assigned>
Art Unit: <not yet assigned>

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WASHINGTON, D.C. 20231

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PETITION REQUESTING CONSIDERATION OF
INFORMATION DISCLOSURE STATEMENT

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicants submit this Information Disclosure Statement. This Information Disclosure Statement has been filed less than three months after the filing date of this application. Therefore, no fee is required.

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references. The submission of the references should not be construed as admission of prior art.

The Applicant respectfully requests that the Examiner considers completely the cited information, along with any other information, in reaching a determination concerning the patentability of all claims, and the Examiner returns the initialed PTO-1449 form to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application.

Respectfully submitted,

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CERTIFICATE OF MAILING UNDER 37 C.F.R.
§1.8(a)

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Ivan D. Zitkovsky

JR

FORM PTO-1449(Modified)	ATTY. DOCKET NO.: J1-02	SERIAL NO.: 10/015,003
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	APPLICANT: W. Richard Jones	
	FILING DATE: December 11, 2001	GROUP:

FEB 11 1962
PATERSON

U.S. PATENT DOCUMENTS

Exam Init	Ref & Des	TRADEMARK OFFICE Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
JR		5,132,899	07/21/92	Fox	364	408	
		5,742,775	04/21/98	King	395	238	
		5,761,441	06/02/98	Bennett	395	235	
		5,799,287	08/25/98	Dembo	705	36	
		5,806,049	09/08/98	Petruzzi	705	36	
		5,812,987	09/22/98	Luskin et al	705	36	
		5,911,135	06/08/99	Atkins	705	36	
		5,933,815	08/03/99	Golden	705	35	
		5,978,778	11/02/99	O'Shaughnessy	705	36	
		5,999,917	12/07/99	Facciani et al	705	36	
		6,029,148	02/22/00	Zurstrassen	705	36	
		6,035,286	03/07/00	Fried	705	36	
		6,041,313	03/21/00	Gilbert, et al	705	36	
		6,061,662	05/09/00	Makivic	705	36	
		6,061,663	05/09/00	Bloom et al	705	36	
		6,078,904	06/20/00	Rebane	705	36	
		6,144,947	11/07/00	Schwartz	705	37	
		6,188,992	02/13/01	French	705	35	
		6,192,347	02/20/01	Graff	705	36	
		6,219,650	04/17/01	Friend, et al	705	36	
		5,819,238	10/06/98	Fernholz	705	36	
		5,911,135	06/08/99	Atkins	705	36	
JR		5,193,056	03/09/93	Boes	364	408	

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FOREIGN PATENT DOCUMENTS

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02/15/2007

FORM PTO-1449(Modified)		ATTY. DOCKET NO.: J1-02	SERIAL NO.: 10/015,003
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		APPLICANT: W. Richard Jones	
		FILING DATE: December 11, 2001	GROUP:
OTHER ART (Including Author, Title, Date, Pertinent Pages, Publication, Etc.)			
PATENTS & TRADEMARKS FEB 11 2001		The Vanguard Group, Vanguard Gold and Precious Metals Fund Prospectus dated May 31, 2000	
JR		Barclays Global Investors, iShares MSCI Series Prospectus dated January 2, 2001	
		Barclays Global Investor, iShares Russell Series; iShares S&P Series; iShares Dow Jones Series Prospectus dated May 12, 2000 (as revised October 26, 2000)	
		Scudder Investments, Select Funds, Class AARP and Class S Shares Prospectus dated July 1, 2000	
		The Vanguard Group, Vanguard U.S. Stock Index Funds Prospectus dated November 1, 2000	
		Roger J. Bos, Standard & Poor's; Event Study: Quantifying the Effect of Being Added to an S&P Index dated September, 2000	
		Roger J. Bos, Standard & Poor's; An Overview of Standard & Poor's Earnings and Dividend Quality Rank Model dated July, 2000	
		Roger J. Bos, Standard & Poor's; An Overview of the Standard & Poor's 100 Index dated December, 2000	
		Roger J. Bos, CFA, Michele Ruotolo, Standard & Poor's; General Criteria for S&P U.S. Index Membership dated September, 2000	
V		Scudder Investments, Scudder S&P 500 Index Fund, Prospectus dated April 12, 2000	
JR		Standard & Poors Index Services, S&P Global 1200 Index Changes 2001, S&P Global 1200 Index Changes 2000; http://www.spglobal.com/ssindexmain1200indchange.html	
		Diamonds Trust, Series 1 Prospectus, Part A and Part B, The Dow Industrials, copyright 2001 by PDR Services LLC	
JR		Nike Securities L.P. First Trust® (Prospectus) January 23, 2002 (similar for years 2000, 2001) (50 pages)	
		Nike Securities L.P. First Trust® Communications Portfolio Series 10; http://www.nikesec.com/indiv/ftp/portfoliooverview.asp?fundid=2666&Trust=ccgr10 (4 pages)	
		Nike Securities L.P. First Trust® Biotechnology Portfolio Series 7; http://www.nikesec.com/indiv/ftp/portfoliooverview.asp?fundid=2669&Trust=btgr7 (5 pages)	
		Nike Securities L.P First Trust® Capital Goods Portfolio Series 1; http://www.nikesec.com/indiv/ftp/portfoliooverview.asp?fundid=2670&Trust=cggr1 (3 pages)	
V		Nike Securities L.P. First Trust® Biotechnology Portfolio Features & Benefits; www.nikesec.com (2 pages)	
JR		Standard & Poor's Depository Receipts®, SPDR Trust, Series 1, Prospectus Part A Dated January 24, 2001 (70 pages)	
		streetTRACKS Series Trust, Prospectus 79 pages, October 26, 2001 (similar for 2000)	
JR		Broadband HOLDRS, Contract Specifications, Description of Product; http://www.amex.com/structuredeq/holdrs_bdh.htm (3 pages)	
JR		Standard & Poors Index Services, S&P Global Indices; http://www.spglobal.com/ssindexmain.html	
EXAMINER James Rioux		DATE CONSIDERED 02/15/2007	

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James
Rioux

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JR